

Section 1 - Department of Commerce IT Architecture Capability Maturity Model¹

Revision 1.1

Level	Focus	Architecture Characteristics ²
0	No IT Architecture Program	No IT Architecture to speak of.
1	Initial - Informal IT Architecture Process Underway	(1) Processes are ad hoc and localized. Some IT Architecture processes are defined. There is no unified architecture process across technologies or business processes. Success depends on individual efforts. (2) IT Architecture processes, documentation and standards are established by a variety of ad hoc means and are localized or informal. (3) Minimal, or implicit linkage to business strategies or business drivers. (4) Limited management team awareness or involvement in the architecture process. (5) Limited Operating Unit acceptance of the IT Architecture process. (6) The latest version of the Operating Unit's IT Architecture documentation is on the Web. Little communication exists about the IT Architecture process and possible process improvements. (7) IT Security considerations are ad hoc and localized. (8) No explicit governance of architectural standards. (9) Little or no involvement of strategic planning and acquisition personnel in enterprise architecture process. Little or no adherence to existing Standards Profile.
2	IT Architecture Process Is Under Development	(1) Basic IT Architecture Process program is documented based on OMB Circular A - 130 and Department of Commerce IT Architecture Guidance. The architecture process has developed clear roles and responsibilities. (2) IT Vision, Principles, Business Linkages, Baseline, and Target Architecture are identified. Architecture standards exist, but not necessarily linked to Target Architecture. Technical Reference Model and Standards Profile framework established. (3) Explicit linkage to business strategies. (4) Management awareness of Architecture effort. (5) Responsibilities are assigned and work is underway. (6) The DoC and Operating Unit IT Architecture Web Pages are updated periodically and is used to document architecture deliverables. (7) IT Security Architecture has defined clear roles and responsibilities. (8) Governance of a few architectural standards and some adherence to existing Standards Profile. (9) Little or no formal governance of IT Investment and Acquisition Strategy. Operating Unit demonstrates some adherence to existing Standards Profile.
3	Defined IT Architecture Including Detailed Written Procedures and Technical Reference Model	(1) The architecture is well defined and communicated to IT staff and business management with Operating Unit IT responsibilities. The process is largely followed. (2) Gap Analysis and Migration Plan are completed. Fully developed Technical Reference Model and Standards Profile. IT goals and methods are identified. The architecture aligns with the DoC and Federal Enterprise Architectures. (3) IT Architecture is integrated with capital planning & investment control and supports e-government. (4) Senior-management team aware of and supportive of the enterprise-wide architecture process. Management actively supports architectural standards. (5) Most elements

¹Meta Group, "Enterprise Process Maturity Model and the SEI Model", Enterprise Architecture Strategies, File 16, July 28, 1998

²Numbers correspond to IT Architecture Characteristics

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		of Operating Unit show acceptance of or are actively participating in the IT Architecture process. (6) Architecture documents updated regularly on DoC IT Architecture Web Page. (7) IT Security Architecture Standards Profile is fully developed and is integrated with IT Architecture. (8) Explicit documented governance of majority IT investments. (9) IT acquisition strategy exists and includes compliance measures to IT Enterprise Architecture. Cost-benefits are considered in identifying projects.
4	Managed and Measured IT Architecture Process	(1) IT Architecture process is part of the culture. Quality metrics associated with the architecture process are captured. (2) IT Architecture documentation is updated on a regular cycle to reflect the updated IT Architecture. Business, Information, Application and Technical Architectures defined by appropriate de-jure and de-facto standards. The architecture continues alignment with the DoC and Federal Enterprise Architectures. An automated tool is used to improve the usability of the architecture. (3) Capital planning and investment control are adjusted based on the feedback received and lessons learned from updated IT Architecture. Periodic re-examination of business drivers. (4) Senior-management team directly involved in the architecture review process. (5) The entire Operating Unit accepts and actively participates in the IT Architecture process. (6) Architecture documents are updated regularly, and frequently reviewed for latest architecture developments/standards. (7) Performance metrics associated with IT Security Architecture are captured. (8) Explicit governance of all IT investments. Formal processes for managing variances feed back into IT Architecture. (9) All planned IT acquisitions and purchases are guided and governed by the IT Architecture.
5	Optimizing - Continuous Improvement of IT Architecture Process	(1) Concerted efforts to optimize and continuously improve architecture process. (2) A standards and waivers process are used to improve architecture development process improvements. (3) Architecture process metrics are used to optimize and drive business linkages. Business involved in the continuous process improvements of IT Architecture. (4) Senior management involvement in optimizing process improvements in Architecture development and governance. (5) Feedback on architecture process from all Operating Unit elements is used to drive architecture process improvements. (6) Architecture documents are used by every decision maker in the organization for every IT-related business decision. (7) Feedback from IT Security Architecture metrics are used to drive architecture process improvements. (8) Explicit governance of all IT investments. A standards and waivers process is used to improve governance-process improvements. (9) No unplanned IT investment or acquisition activity.